



Under the Paperwork Reduction Act of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number

Substitute for form 1449A/PTO

# THIRD INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## Complete if Known

Application Number	10/796,580
Filing Date	March 8, 2004
First Named Inventor	RAMAN, JaiShanker
Art Unit	3735
Examiner Name	LACYK, John P.
Attorney Docket Number	XMAR-1035062

Sheet	1	of	4
-------	---	----	---

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		us- 3,983,863	10-05-1976	Janke et al	
		us- 4,048,990	09-20-1977	Goetz	
		us- 4,403,604	09-13-1983	Wilkinson et al	
		us- 4,428,375	01-31-1984	Ellman	
		us- 4,630,597	12-23-1986	Kantrowitz et al	
		us- 4,690,134	09-01-1987	Snyders	
		us- 4,821,723	04-18-1989	Baker, Jr. et al	
		us- 4,878,890	11-07-1989	Bilweis	
		us- 4,936,857	06-26-1990	Kulik	
		us- 4,957,477	09-18-1990	Lundback	
		us- 4,973,300	11-27-1990	Wright	
		us- 4,976,730	12-11-1990	Kwan-Gett	
		us- 5,057,117	10-15-1991	Atweh	
		us- 5,087,243	02-11-1992	Avitall	
		us- 5,131,905	07-21-1992	Grooters	
		us- 5,150,706	09-29-1992	Cox et al	
		us- 5,186,711	01-16-1993	Epstein	
		us- 5,192,314	03-09-1993	Daskalakis	
		us- 5,256,132	10-26-1993	Snyders	
		us- 5,290,217	03-01-1994	Campos	
		us- 5,356,432	10-08-1994	Rutkow et al	
		us- 5,383,840	01-24-1995	Heilman et al	
		us- 5,385,156	01-13-1995	Oliva	
		us- 5,429,584	07-04-1995	Chin	
		us- 5,507,779	04-16-1996	Altman	
		us- 5,524,633	07-11-1996	Heaven et al	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

American LegalNet, Inc.  
[www.FormsWorkflow.com](http://www.FormsWorkflow.com)

Under the Paperwork Reduction Act of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number

Substitute for form 1449A/PTO

**THIRD INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/796,580
Filing Date	March 8, 2004
First Named Inventor	RAMAN, JaiShanker
Art Unit	3735
Examiner Name	LACYK, John P.
Attorney Docket Number	XMAR-1035062

Sheet 2

of 4

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		us- 5,603,337	02-18-1997	Jarvik	
		us- 5,647,380	07-15-1997	Campbell et al	
		us- 5,713,954	02-03-1998	Rosenberg et al	
		us- 5,800,528	09-01-1998	Lederman et al	
		us- 5,976,551	11-02-1999	Mottez et al	
		us- 6,077,218	06-20-2000	Alferness	
		us- 6,085,754	07-11-2000	Alferness et al	
		us- 6,123,662	09-26-2000	Alferness	
		us- 6,126,590	10-03-2000	Alferness	
		us- 6,155,968	12-05-2000	Wilk	
		us- 6,155,972	12-05-2000	Nauertz et al	
		us- 6,169,922 B1	01-02-2001	Alferness et al	
		us- 6,174,279	01-16-2001	Girard	
		us- 6,179,791	01-30-2001	Krueger	
		us- 6,193,646 B1	02-27-2001	Kulisz et al.	
		us- 6,206,820	03-27-2001	Kazi	
		us- 6,230,714	05-15-2001	Alferness et al	
		us- 6,370,429 B1	04-09-2002	Alferness et al	
		us- 6,537,203 B1	03-25-2003	Alferness et al	
		us- 6,567,699 B2	05-20-2003	Alferness et al	
		us- 6,575,921 B2	06-10-2003	Vanden Hoek et al	
		us- 6,582,355 B2	06-24-2003	Alferness et al	
		us- 6,673,009	01-06-2004	Vanden Hoek et al.	
		us- 20030088149	05-08-2003	JaiShankar et al.	
		us- 20030233023	03-24-2003	Asgher et al.	
		us- 20040034272	02-19-2004	Cesar et al.	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

American LegalNet, Inc.  
[www.FormsWorkflow.com](http://www.FormsWorkflow.com)

Under the Paperwork Reduction Act of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number

Substitute for form 1449A/PTO

**THIRD INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/796,580
Filing Date	March 8, 2004
First Named Inventor	RAMAN, JaiShanker
Art Unit	3735
Examiner Name	LACYK, John P.
Attorney Docket Number	XMAR-1035062

Sheet 3

of 4

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known)				
		WO9952470 A1	10-21-1999	Snyders		
		WO9952471	10-21-1999	Alt et al		
		WO0110421 A1	02-15-2001	Nelson et al.		
		WO0322131 A2	03-20-2003	Raman, et al.		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number.

Substitute for form 1449B/PTO

**THIRD INFORMATION  
DISCLOSURE STATEMENT BY  
APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/796,580
Filing Date	March 8, 2004
First Named Inventor	RAMAN, JaiShanker
Art Unit	3735
Examiner Name	LACYK, John P.
Attorney Docket Number	XMAR-1035062

Sheet 4

of

4

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		BOURGE, "Clinical Trial Begins for Innovative Device-Altering Left Ventricular Shape in Heart Failure", UAB Insight, 08-08-2002	

Examiner  
SignatureDate  
Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.